



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

<b>In re Application of:</b>	<b>Akihiro KAWASE, Toshihiro MIWA, Kenji SAKAMOTO, Ichiro HAYASHIDA</b>
<b>Application No.:</b>	<b>10/533888</b>
<b>Filed:</b>	<b>May 5, 2005</b>
<b>For:</b>	<b>POLISHING COMPOSITION AND RINSING COMPOSITION</b>
<b>Group Art Unit:</b>	<b>Not Assigned</b>

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Docket No.: O11.2I-11893-US01

**INFORMATION DISCLOSURE STATEMENT**

Listed below or on an attached form listing the cited references and/or a copy of a PTO-892 form is information known to applicant(s). A copy of each listed foreign patent and each listed publication other than U.S. patents and U.S. patent application publications is being submitted herewith, along with a concise explanation of information in a foreign language, if any, pursuant to 37 C.F.R. §1.97-1.98, *except that* U.S. patents and U.S. published applications from which priority is claimed under 35 U.S.C. §120, and documents cited in such priority applications, may be omitted from the enclosures pursuant to 37 C.F.R. 1.98(d). Applicant's submission of copies of unpublished U.S. applications does not constitute a waiver of the confidentiality of such applications. As such, **Applicant requests that any copies of unpublished US applications submitted herewith be excluded from the file wrapper pursuant to 37 C.F.R. §1.14.**

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the above-identified application. If the form listing the cited references or PTO-892 from a prior application is enclosed, the Examiner is requested to initial and return it in accordance with MPEP §609.

This statement is not intended to represent that a search has been made or that the information cited in the statement is prior art, or is or is considered to be, material to patentability as defined in §1.56.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /BT/

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Applications that are listed on the accompanying form listing the cited references as related by priority are related by priority claim under 35 USC §120. Pursuant to 37 CFR §1.98(d), no copies of cited art in a previous application(s) to which priority was claimed need be submitted. Applicant is providing copies of the form listing the cited references and/or 892 forms from these cases.

☒ I. This statement qualifies as a no-fee Information Disclosure Statement under 37 C.F.R. §1.97(b) or otherwise because to the knowledge of the undersigned attorney it is being filed (check all that apply):

- ☒ (1) within 3 months of the filing date of the application (other than a CPA); or
- ☐ (2) within 3 months of entry of the national stage; or
- ☒ (3) before the mailing of a first Office Action on the merits;
- ☐ (4) before the mailing of a first Office Action after the filing of a request for continued examination (RCE) under §1.114;
- ☐ (5) as part of a continued prosecution application (CPA); or
- ☐ (6) during the period of a suspension of action for a CPA under 37 C.F.R. §1.103(b).

☐ II. This statement is believed to require a fee or the submission of a certification under 37 C.F.R. §1.97 (c) or otherwise. If this statement is being filed after the latest of: (1) three months beyond the filing date of a national application (other than CPA); (2) three months beyond the date of entry of the national stage as set forth in §1.491 in an international application; (3) the mailing of a first Office Action on the merits; (4) the mailing of a first Office Action after the filing of a request for continued examination under §1.114; or (5) after the filing of a request for a continued prosecution application, but before the mailing date of the earlier of a final office action under §1.113, a notice of allowance under §1.311 or an action that otherwise closes prosecution in the application, then:

- ☐ (1) a certification as specified in §1.97(e) is provided below; or
- ☐ (2) a fee of \$180.00 as set forth in §1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.

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- III. 37 C.F.R. §1.97(d).** If this statement is being filed after the mailing date of the earlier of a final office action under §1.113, a notice of allowance under §1.311, or an action that otherwise closes prosecution in the application, but before payment of the issue fee, then:
- (1) a certification as specified in §1.97(e) is completed below; and
- (2) a fee of \$180.00 as set forth in §1.17(p) is authorized below, enclosed, or included with payment of other papers filed together with this statement.
- X**   **IV. Fee Authorization.** If any fee is due for consideration of this Information Disclosure Statement and full payment has not been submitted herewith, regardless of which boxes have been checked above, the Commissioner is hereby authorized to charge any additional fees associated with this communication to Deposit Account No. 22-0350. The Commissioner is hereby authorized to credit any overpayment associated with this communication to Deposit Account No. 22-0350.

***If paragraph II.1 or III is checked, also check one of the paragraphs below***

- I hereby certify, under 37 CFR §1.97(e)(1), that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the date of the filing of this information disclosure statement.
- This communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.
- I hereby certify, under 37 CFR §1.97(e)(2), that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

*For the purpose of this certification, Applicant considers the PCT International Search Authority to constitute a foreign patent office.*

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*Information Disclosure Statement*  
*Attorney Docket No. 011.2-11893-US01*

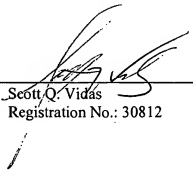
If this Information Disclosure Statement has been submitted without the appropriate box checked, Applicant requests that this Information Disclosure Statement be considered nevertheless if it is timely submitted under any of the provisions of 37 C.F.R. §1.97 or otherwise. Finally, if any petition is necessary to ensure consideration of this Information Disclosure Statement, Applicant requests that this be treated as such a petition.

Respectfully submitted,

VIDAS, ARRETT & STEINKRAUS

Date: June 3, 2005

By: \_\_\_\_\_

  
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FORM PTO-1449 (Modified)  
 LIST OF PATENTS AND PUBLICATIONS  
 FOR APPLICANTS  
 INFORMATION DISCLOSURE STATEMENT  
 (Use several sheets if necessary)

ATTY DOCKET NO.: 011.2-11893-US01

APPLICATION NO.: 10/533888

APPLICANT: Kawase, et al.

FILING DATE: May 5, 2005

GROUP: Not Assigned

## REFERENCE DESIGNATION

## U.S. PATENT AND PUBLISHED APPLICATION DOCUMENTS

EXAM'S INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS/ SUBCLASS	FILING DATE IF APPROPRIATE
	AA	6280652	08/28/01	Inoue, et al.	252/79.1	
	AB	3715842	02/13/73	Tredinnick	51/281	
	AC	4169337	10/02/79	Payne	451/41	
	AD	4462188	07/31/84	Payne	451/41	
	AE	4588421	05/13/86	Payne	51/308	
	AF	5230833	07/27/93	Romberger, et al.	252/363.5	
	AG	5352277	10/04/94	Sasaki	106/6	
	AH	5916819	06/29/99	Skrovan, et al.	438/692	
	AI	6099604	08/08/00	Sandhu, et al.	51/307	
	AJ	6454820	09/24/02	Hagihara, et al.	51/308	
	AK	2001-0003672	06/14/01	Inoue, Yutaka et al.	438/690	
	AL	2002-0151252	10/17/02	Kawase, Akihiro, et al.	451/36	
	AM	2004-0127017	07/01/04	Jung, Byung Hyun, et al.	438/637	
	AN	2004-0098924	05/27/04	Iwasa, Shoji	51/302	
	AO	2005-0054203	03/10/05	Yamada, Shuhei	438/695	

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY
	BA			
	BB			

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Ect.)

	CA	
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EXAMINER /Binh Tran/

DATE CONSIDERED

02/27/2008

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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<b>FORM PTO-1449 (Modified)</b>		<b>ATTY DOCKET NO.: 011.2-11893-US01</b>		<b>APPLICATION NO.: 10/533888</b>	
<b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>		<b>APPLICANT:</b> Kawase, et al.			
		<b>FILING DATE:</b> May 5, 2005		<b>GROUP:</b> Not Assigned	
<b>REFERENCE DESIGNATION</b>		<b>U.S. PATENT AND PUBLISHED APPLICATION DOCUMENTS</b>			
<b>EXAM'S INIT.</b>		<b>DOCUMENT NUMBER</b>	<b>DATE</b>	<b>NAME</b>	<b>CLASS/ SUBCLASS</b>
	AA				
	AB				
<b>FOREIGN PATENT DOCUMENTS</b>					
		<b>DOCUMENT NUMBER</b>	<b>DATE</b>	<b>COUNTRY</b>	
	BA	WO 99/32570	07/01/1999	wo	
	BB	63-272460	11/09/1988	JP	
	BC	2001-077063	03/23/2001	JP	
	BD	EP 0789071A1	07/25/1996	EP	
	BF	11-116984	04/27/1999	JP	
	BF	2001-308052	11/02/2001	JP	
	BG	WO 01/04231	01/18/2001	WO	
	BH	2001-131535	05/15/2001	JP	
<b>OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)</b>					
	CA				
<b>EXAMINER</b> /Binh Tran/		<b>DATE CONSIDERED</b> 02/27/2008			
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.					